



## **Register of ASX 24 Operating Rules Rule Waivers**

**16 to 30 April 2014**

**The purpose of this register is to record when ASX has exercised its discretion and granted a waiver from the ASX 24 Operating Rules rules. Waivers are published bi-monthly and include information such as:**

- Organisation**
- Rule Number**
- Decision Details**
- Basis for Decision**

**For all product enquiries, please contact:  
- Customer Service Centre on 131 279**

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<b>Rule Number</b>	1000(b)
<b>Date</b>	7/04/2014
<b>Participant</b>	Blue Fire Capital LLC
<b>Waiver Number</b>	WPA140005-001
<b>Decision</b>	<p>The application should be granted. Based solely on the information provided and similar waivers requested and approved, ASX Limited grants Blue Fire a waiver from ASX 24 Operating Rule 1000(b) and 1000(c) subject to the following ongoing conditions. This waiver is subject to the following conditions being satisfied on an ongoing basis for the waiver to continue to have effect:</p> <p>With regards to ASX 24 Operating Rule 1000(b) Blue Fire:</p> <ul style="list-style-type: none"> <li>- is a foreign company;</li> <li>- continues to be registered as a body corporate incorporated in the USA;</li> <li>- does not have a place of business nor any physical presence in Australia;</li> <li>- conducts no physical activity or trading in Australia;</li> <li>- does not establish or use a share transfer office in Australia;</li> <li>- does not administer, manage, or deal with property situated in Australia, as an agent, legal personal representative or trustee;</li> <li>- does not issue debentures in Australia and/or as a guarantor for a company that does;</li> <li>- does not engage in conduct that is intended to induce persons in Australia to utilise the financial services the Company provides; and</li> <li>- does not, nor is it permitted to, carry on business in Australia.</li> </ul>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b> Where a Participant is not required to register as a foreign corporation in Australia under Division 2 of Part 5B.2 of the Corporations Act and they are not carrying on business in Australia they are permitted to request a waiver of ASX 24 Operating Rule 1000(b) and 1000(c) under ASX 24 policy.</p> <p><b>Present Application</b> The request for a waiver from Blue Fire is similar in nature to previous waivers granted and it is also consistent with ASX 24 policy.</p>

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<b>Rule Number</b>	1000(c)
<b>Date</b>	7/04/2014
<b>Participant</b>	Blue Fire Capital LLC
<b>Waiver Number</b>	WPA140005-002
<b>Decision</b>	<p>The application should be granted. Based solely on the information provided and similar waivers requested and approved, ASX Limited grants Blue Fire a waiver from ASX 24 Operating Rule 1000(b) and 1000(c) subject to the following ongoing conditions. This waiver is subject to the following conditions being satisfied on an ongoing basis for the waiver to continue to have effect. With regards to ASX 24 Operating Rule 1000(c) Blue Fire:</p> <ul style="list-style-type: none"> <li>- the Company's activity as a Trading Participant is solely on its own behalf and they must not trade on behalf of clients;</li> <li>- it continues to operate in accordance with the legal opinion provided as part of their application and that legal opinion remains current; and</li> <li>- the Company must at all times comply with the ASX 24 Operating Rules, including those ASX 24 Operating Rules that require compliance with provisions in the Corporations Act 2001 (Cth) that apply to an Australian Financial Services Licensee (other than ASX 24 Operating Rules waived by ASX).</li> </ul>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b> Where a Participant is not required to register as a foreign corporation in Australia under Division 2 of Part 5B.2 of the Corporations Act and they are not carrying on business in Australia they are permitted to request a waiver of ASX 24 Operating Rule 1000(b) and 1000(c) under ASX 24 policy.</p> <p><b>Present Application</b> The request for a waiver from Blue Fire is similar in nature to previous waivers granted and it is also consistent with ASX 24 policy.</p>